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**Technology Center 2100**

**BEFORE THE BOARD OF PATENT APPEALS  
AND INTERFERENCES**

Application Number: 09/748,125  
Filing Date: December 27, 2000  
Appellant(s): ROZEK ET AL.

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Aaron C. Chatterjee  
Reg. No. 41,398  
For Appellant

**EXAMINER'S ANSWER**

This is in response to the appeal brief filed 26 June 2006 appealing from the Office action mailed 24 January 2006.

**(1) Real Party in Interest**

A statement identifying by name the real party in interest is contained in the brief.

**(2) Related Appeals and Interferences**

The examiner is not aware of any related appeals, interferences, or judicial proceedings which will directly affect or be directly affected by or have a bearing on the Board's decision in the pending appeal.

**(3) Status of Claims**

The statement of the status of claims contained in the brief is correct.

**(4) Status of Amendments After Final**

The appellant's statement of the status of amendments after final rejection contained in the brief is correct.

**(5) Summary of Claimed Subject Matter**

The summary of claimed subject matter contained in the brief is correct.

**(6) Grounds of Rejection to be Reviewed on Appeal**

The appellant's statement of the grounds of rejection to be reviewed on appeal is correct.

**(7) Claims Appendix**

The copy of the appealed claims contained in the Appendix to the brief is correct.

**(8) Evidence Relied Upon**

Ricker et al., "XML and EDI- Peaceful Co-Existence," available from [www.archive.org](http://www.archive.org), 3 March 2000, pp. 1-9

5572670	Puckett	11-1996
6708166	Dysart et al.	3-2004
5526484	Casper et al.	6-1996
6157988	Dowling	12-2000
4945479	Rusterholz et al.	7-1990
5406563	Loebig	4-1995
6530039	Yang	3-2003

**(9) Grounds of Rejection**

The following ground(s) of rejection are applicable to the appealed claims:

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-2, 6-7, and 11-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker et al. ("XML and EDI- Peaceful Co-Existence," 3 Marcy 2000, available from [www.archive.org](http://www.archive.org), hereafter Ricker) and further in view of Puckett (US 5572,670, filed 10 January 1994).

As per independent claim 1, Ricker discloses a computer implemented process for tracking inbound documents received from trading patterns in a business-to-business electronic commerce system, the process comprising:

- (a) Receiving an inbound document from a trading partner at a translator (Figure 9)
- (b) The translator checking compliance of the document for translation from a source format to a desired target format (Figure 9)
- (c) Attempting translation of the document and detecting errors in the translation (page 8: Here, the translation is performed using an X12 dictionary. The translation is then checked to ensure that the data is complete and accurate)

Ricker fails to specifically disclose:

- Capturing data errors to a database
- Extracting data from the received document and using it to provide a document identifier, and saving the document identifier to a database as an index for the error data, the document identifier correlated to the received document

However, Puckett discloses:

- Capturing data errors to a database (column 2, lines 60-67)
- Extracting data from the received document and using it to provide a document identifier, and saving the document identifier to a database as an index for the error data, the document identifier correlated to the received document (column 3, lines 4-12: Here, the header is a document identifier grouping the error events)

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker's process with Puckett's process, since it would have allowed a user to interpret and categorize error conditions (Puckett: column 2, lines 14-20).

As per dependent claim 2, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Ricker further discloses the process wherein step (b) comprises attempting recognition of syntax formats within a document data stream for compliance with configured formats, and configuring the translator (page 8).

As per dependent claim 6, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Puckett further discloses that when an error is detected, it is processed and the document data stream is returned to (Figure 3, steps 304 and 308).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user easily maintain a log of errors.

As per dependent claim 7, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Puckett further discloses errors are detected at the stage of a mapping process in which a field of a target document is not populated because the errors are detected before the event records have been encoded as tuples (Figure 3, steps 304 and 308).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user ensure that non-compliant data is not translated.

As per dependent claim 11, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Puckett further discloses that step d) comprises extracting data from both a document's enveloping information and from within the document (col. 3, lines 5-7, "These events can be errors in the storage system or simply routine observations about the storage system").

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user to ensure the correspondence between detected errors and the document.

As per dependent claim 12, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Puckett further discloses a process wherein error data is captured by writing values to variables in memory, and subsequently saving said values to the tracking database referenced to the internal document identifiers (Fig. 3, items 308-316, Fig. 3 details how tuples are stored in a metalanguage (which must occur in variables), and then outputted to a database).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user store information.

As per dependent claim 13, Ricker and Puckett disclose the limitations similar to those in claim 12, and the same rejection is incorporated herein. Puckett further discloses the use of a variable that upon assignment of a subsequent value said

subsequent value is treated as a valid variable value (Fig. 3, item 308, the information is translated into a tuple). However, Puckett fails to disclose the use of a temporary variable that can only reference a single value. However, it was notoriously well known in the art at the time of the invention that variables that reference only one value are useful because they can be used to represent single pieces of information of particular import.

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user to preserve memory resources.

As per dependent claim 14, Ricker and Puckett disclose the limitations similar to those in claim 12, and the same rejection is incorporated herein. Puckett further discloses a process wherein the memory variables include a list variable which can reference a plurality of values (Figure 3, item 308: Here, the converter operates on tuples which involve a plurality of values).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user to group related values (Puckett: column 3, lines 4-12).

As per dependent claim 15, Ricker and Puckett disclose the limitations similar to those in claim 12, and the same rejection is incorporated herein. Puckett further discloses a process wherein error data is mapped to said variables according to



mapping rules (Figure 3, item 312: Here is a translation process, which involves a mapping according to mapping rules.)

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user to group related values (Puckett: column 3, lines 4-12).

As per dependent claim 16, Ricker and Puckett disclose the limitations similar to those in claim 15, and the same rejection is incorporated herein. Puckett further discloses a process, wherein each variable has a label (variables inherently must have labels for a program to operate on them), and referencing a label of a variable in a mapping rule declares said variable (in col. 4, lines 10, referencing tuples activates the tuple and therefore must declare it).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user to group related values (Puckett: column 3, lines 4-12).

As per dependent claim 17, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Puckett further discloses a process wherein step c) comprises generating an error code indicating the nature of the error, there being a pre-stored set of error codes and associated descriptions (col. 6, lines 15-42 Puckett describes the generation of the error codes and the predetermined language used to do so.)

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Puckett's process, since it would have allowed a user to further process the error codes into a human readable form (Puckett: column 2, lines 12-35).

As per independent claim 18, the applicant discloses the limitations similar to those in claims 1, 12-15, and 17. Claim 18 is similarly rejected under Ricker and Puckett.

As per independent claim 19, the applicant discloses an electronic commerce system that comprises means for performing the process of claim 1. Claim 19 is similarly rejected under Ricker and Puckett.

As per independent claim 20, the applicant discloses a computer program encoded on a computer-readable medium designed to perform the process of claim 1. Claim 20 is similarly rejected under Ricker and Puckett.

Claim 3 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker and Puckett, and further in view of Dysart et al. (USPN 6,708,166 B1—filing date 5/11/2000, herein Dysart), and further in view of Casper et al. (USPN 5,526,484—filing date 12/10/1992, herein Casper).

As per dependent claim 3, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Ricker and Puckett fail to specifically disclose a process wherein step c) comprises parsing the received inbound document field-by-field and, for each field, checking the string byte size and

delimiter characters. However, Dysart, discloses field-by-field parsing in order to allow more exact control over search processing (col. 16, lines 35-45).

It would have been obvious to one of ordinary skill in the art at the time of the invention to incorporate field-by-field parsing as in Dysart into Ricker and Puckett, in order to allow more exact control over search processing.

Further, Casper describes processing which involves string byte checking and delimiter characters in order to successfully frame commands (col. 16, lines 5-15).

It would have been obvious to one of ordinary skill in the art at the time of the invention to use string byte checking and delimiter characters in the manner of Casper in the context of Ricker, Puckett, and Dysart in order to successfully frame commands.

Claim 4 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker, Puckett, Dysart, and Casper, and further in view of Dowling (USPN 6,157,988—filing date 12/23/1997).

As per dependent claim 4, Ricker, Puckett, Dysart, and Casper disclose the limitations similar to those in claim 3, and the same rejection is incorporated herein. However, Ricker, Puckett, Dysart, and Casper fail to specifically disclose a process wherein step c) further comprises checking sequence of fields against allowable record field groupings including required, optional, or conditional fields. However, Dowling, describes the classification and checking of field types including required, optional, and conditional in order to help organize fields (col. 16, lines 43-67).

It would have been obvious to one of ordinary skill in the art at the time of the invention to employ the classification and checking of field types in the manner of Dowling in the context of Ricker, Puckett, Dysart, and Casper including required, optional, and conditional in order to help organize fields.

Claims 5 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker and Puckett, and further in view of Casper.

As per dependent claim 5, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Ricker and Puckett fail to specifically disclose a process in which the translator generates error data in step c) for field character set, character size, and delimiters and continues translation processing. However, Casper, discloses error data that a processing unit generates error information when analyzing a frame which encompasses a character set, character size, and delimiters in order to prevent erroneous processing of frame contents (col. 11, lines 1-25).

It would have been obvious to one of ordinary skill in the art at the time of the invention to generate error information in the manner of Casper in the context of Ricker and Puckett in order to prevent erroneous processing of frame contents.

Claim 8 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker and Puckett, and further in view of Rusterholz et al. (USPN 4,945,479—filing date 7/31/1985, herein Rusterholz).

As per dependent claim 8, Ricker and Puckett disclose the limitations similar to those in claim 7, and the same rejection is incorporated herein. Ricker and Puckett fail to specifically disclose that the translation process is aborted if a target document field is not populated. However, Rusterholz describes a translation process in which a requirement of the process to avoid abortion of the process is that the translation needs to be populated because it is on the same register (col. 66, lines 5-35).

It would have been obvious to one of ordinary skill in the art at the time of the invention to abort if a target document field is not populated in the manner of Rusterholz in the context of Ricker and Puckett in order to allow verification of valid entries.

Claim 9 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker and Puckett, and further in view of Loebig (USPN 5,406,563—filing date 8/6/1993).

As per dependent claim 9, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Ricker and Puckett fail to specifically disclose a process wherein step c) comprises identifying errors after construction of a target document and output of said document through a stream. However, Loebig, discloses stream processing of documents in order to monitor errors in document processing (Abstract, lines 1-10).

It would have been obvious to one of ordinary skill in the art at the time of the invention to process documents through a stream in the context of Puckett in the manner of Loebig in order to monitor errors in document processing.

Claim 10 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker, Puckett, Loebig, and further in view of Casper.

As per dependent claim 10, the claim is essentially equivalent to claim 5 in that field attribute, truncation, and character set errors are generated in claim 5, and rejecting claim 10 is merely a manner of identifying them after construction of the document, which would have been obvious because they would have already been generated.

Claims 21-22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ricker and Puckett, and further in view of Yang (US 6530039, filed 14 June 1999).

As per dependent claim 21, Ricker and Puckett disclose the limitations similar to those in claim 1, and the same rejection is incorporated herein. Ricker and Puckett fail to specifically disclose the step of identifying error data corresponding to the inbound document from the trading partner and provide information to the trading partner based on the identified error data. However, Yang discloses identifying error data corresponding to the inbound document from the trading partner and provides information to the trading partner based on the identified error data (column 9, table: Here, if a translation fails, an error message is generated informing a user that the translation does not work).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Ricker and Puckett's process with Hamlin's

process, since it would have allowed a user to receive notification of errors (Yang: column 9, table).

As per dependent claim 22, the applicant discloses the limitations similar to those in claim 21. Claim 22 is similarly rejected under Ricker, Puckett, and Yang.

### **(10) Response to Argument**

The appellant argues that the references applied to each of the independent claims, Ricker and Puckett, fail to disclose "error data detected in the translation are captured to a tracking database (page 6)." However, the examiner respectfully disagrees. While the examiner acknowledges that alone, neither Ricker nor Puckett disclose the entire limitation, the combination of the two references would have been obvious to one of ordinary skill in the art at the time of the applicant's invention. Ricker discloses a method for translating documents in a business-to-business electronic commerce system (pages 1-9). In Ricker's method, a document is received at a translator (Figure 9). This translator checks the compliance of a document for a translation from a source format to a target format through the use of the X12 dictionary (Figure 9; page 8). The translator not only functions to convert the document from a source format to a target format. The translator additionally validates the document (page 8, paragraph 2: Here, checking to ensure that the document is "well-formed" is a validation of the document). The process of validating the document inherently detects errors if the document is not "well-formed."

Although Ricker fails to disclose storing these validation errors to a database, Puckett discloses the use of an error log database, which stores errors captured from a translation system (Figure 1; column 2, lines 60-67). It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Puckett's method of storing errors from a translation system with Ricker's validation of documents translated for a business-to-business electronic commerce system, since it would have allowed a user to interpret and categorize error conditions (Puckett: column 2, lines 14-20).

The appellant further argues with respect to claims 21 and 22 that Yang is irrelevant to the features recited in the claims (page 8). The examiner respectfully disagrees. The appellant states that Yang fails, "to provide information to the trading partner based on the identified error data (page 7)." However, Yang discloses a print statement where an error statement is displayed (column 9, table, lines 57-61). While the translation of Yang does not specifically relate to a translation of business-to-business documents, Yang does relate to translations in general. Further, it would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to have combined Yang's user notification of an error in a translation with Ricker and Puckett, since it would have allowed a user to receive notifications of errors (Yang: column 9, table).




Art Unit: 2178

**(11) Related Proceeding(s) Appendix**

No decision rendered by a court or the Board is identified by the examiner in the Related Appeals and Interferences section of this examiner's answer.

For the above reasons, it is believed that the rejections should be sustained.

Respectfully submitted,

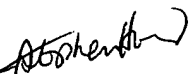


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